



RESEARCH REPORT

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation's Presentence Investigation Workload
To:	David R. Smith, County Administrative Officer
From:	Sandi Wilson, Chief Resource Officer
Prepared By:	Dan Paranick, Budget Analyst Scott Mara, Budget Analyst

ISSUE

The purpose of this report is to assess the potential need for additional staff for the Maricopa County Adult Probation Department's Presentence Investigation Division and to examine the projected cost impact of implementing presentence re-engineering at the Department's downtown location.

BACKGROUND

The Adult Probation Department is mandated to provide presentence reports to the Superior Court following a guilty judgment. Information in the reports are used by judges to make sentencing decisions. According to A.R.S. §12-253 and A.R.S. §13-914(a), "a presentence report shall be prepared by an adult probation officer for every offender who has been convicted of a felony and for whom the granting of probation is not prohibited, or for those offenders who have violated probation." Rule 26.3a(1) of the Rules of Criminal Procedure outlines the timeline for sentencing, stating that "upon a determination of guilt, the court shall set a date for sentencing. Sentences shall be pronounced not less than 15 days nor more than 30 days after the determination of guilt unless the court, after advising the defendant of his or her right to a presentence report, grants his or her request that sentence be pronounced earlier." Ultimately, delays in submitting presentence reports result in more continuances, higher staffing costs, and a longer length of stay for in-custody defendants which leads to higher incarceration costs for the County.

In order to provide a more coordinated and efficient presentence process, the Adult Probation Department embarked on an effort to re-engineer its Presentence Investigation Division in 1995. Initial goals of the re-engineered process projected that presentence procedures could be re-designed with enhanced automation to reduce the timeline for providing reports to the court from an average of 28 days, the current average, to an average of 21 days or less. The re-engineering design also projected that the number of staff needed to process presentence reports could be significantly reduced.

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	2

Efforts to redesign the presentence process began with a pilot project at the Adult Probation's Southeast Complex location. \$200,000 was allocated to the department in FY 1995-96 to implement the pilot program, and the funding was left in the budget in FYs 1996-97 and 1997-98. Adult Probation used the \$200,000 in FY 1995-96 and FY 1996-97 to purchase the start-up equipment to complete the pilot project at Southeast. Adult Probation then used the \$200,000 in FY 1997-98 to fund 6 full-time PSI Officer positions. According to Adult Probation, the true cost of these positions was actually \$234,000, thus, the department absorbed the extra \$34,000 in their budget. To date, aside from some implementation delays, the pilot has been a success. The department is able to provide presentence reports in a much shorter period of time. In some instances, reports are can be provided in one day. The Court has also supported the re-designed process. The success of the pilot project has allowed the department to absorb some of the recent workload increases.

The current problem is that workload increases have continued to escalate which has resulted in a higher caseload per officer ratio, delays in submitting reports, and an excessive use of overtime. While the department strives to maintain a ratio of 15 reports per Presentence Investigation Officer per month, the ratio has increased to an average of 19 reports per month over the 12 month period from January 1997 to December 1997. As a result, the department has requested funding to hire 10 additional presentence officers at a cost of \$457,970 for the first year, with ongoing costs of \$378,970. Also, the department requested 3 support staff at a cost of \$19,947 for the first year and ongoing costs of \$86,301. Once the re-engineering project is fully implementated, Adult Probation would like to re-allocate the 10 presentence officers to the Field Services Unit. In addition, the Department has also requested funding to purchase automation equipment to implement the re-engineering project at it's downtown location at a cost of \$398,326. The following discussion will address the current need for additional staff and examine the potential benefits that could be realized by providing funding for enhancing automation.

DISCUSSION

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	3

The following table outlines Adult Probation's General Fund financial status, as of February's 1998 close.

<u>DESCRIPTION</u>	<u>ADMINISTRATION/TECHNICAL SERVICES (1110)</u>					<u>REMAIN. BUDGET</u>
	<u>CUR BUD</u>	<u>YTD BUD</u>	<u>YTD ACT</u>	<u>VARIANCE</u>		
REGULAR PAY	\$ 845,556	\$ 555,064	\$ 505,801	\$ 49,263	\$	339,755
FRINGE BENEFITS	199,236	130,302	103,485	26,817		95,751
SALARY ADJUSTMENT	34,442	12,089	0	12,089		34,442
OTHER PERSONAL SERVICES	3,767	3,767	0	3,767		3,767
PERSONNEL SAVINGS (NEG)	(199,665)	(127,705)	0	(127,705)		(199,665)
	883,336	573,517	609,287	(35,770)		274,049
GENERAL SUPPLIES	116,500	77,527	147,347	(69,820)		(30,847)
MEDICAL SUPPLIES	8,000	5,332	477	4,855		7,523
CONTRACTUAL SERVICES-EXTERNAL	76,500	50,394	83,810	(33,416)		(7,310)
HEALTH CARE SERVICES	100,000	66,388	22,837	43,551		77,163
LEGAL	4,600	3,066	2,445	621		2,155
INSURANCE	500	332	567	(235)		(67)
RENT	522,300	348,200	315,219	32,981		207,081
REPAIRS & MAINTENANCE	187,200	124,724	198,132	(73,408)		(10,932)
FACILITIES MGMT DISCRETIONARY	505	336	0	336		505
MATERIAL MGMT DISCRETIONARY	0	0	31,876	(31,876)		(31,876)
MOTOR POOL	13,323	8,882	12,213	(3,331)		1,110
FUEL	13,625	9,084	8,241	843		5,384
TELECOM DISCRETIONARY	95,338	63,558	76,674	(13,116)		18,664
TRAVEL STATUS	0	0	2,647	(2,647)		(2,647)
EDUCATION	41,500	27,363	38,971	(11,608)		2,529
TRANSPORTATION/SHIPPING	2,100	1,400	56,872	(55,472)		(54,772)
JUDICIAL TRAVEL	80,000	53,392	6,673	46,719		73,327
SUPPORT & CARE OF PERSONS	44,934	29,932	10,151	19,781		34,783
MISCELLANEOUS EXPENSE	61,700	40,706	34,002	6,704		27,698
	1,368,625	910,616	1,049,153	(138,537)		319,472
BUILDINGS & IMPROVEMENTS	0	0	601	(601)		(601)
EQUIPMENT	131,112	83,814	0	83,814		131,112
	131,112	83,814	601	83,213		130,511
	2,383,073	1,567,947	1,659,040	(91,093)		724,033

<u>DESCRIPTION</u>	<u>PRESENTENCE INVESTIGATIONS (1130)</u>					<u>REMAIN. BUDGET</u>
	<u>CUR BUD</u>	<u>YTD BUD</u>	<u>YTD ACT</u>	<u>VARIANCE</u>		
REGULAR PAY	1,780,081	1,181,033	1,127,525	53,508		652,556
TEMPORARY PAY	0	0	18,313	(18,313)		(18,313)
SPECIAL PAY	0	0	52,204	(52,204)		(52,204)
FRINGE BENEFITS	388,474	257,953	227,151	30,802		161,323
SALARY ADJUSTMENT	24,762	24,762	0	24,762		24,762
OTHER PERSONAL SERVICES	20,723	20,723	0	20,723		20,723
PERSONNEL SAVINGS (NEG)	(117,382)	(78,254)	0	(78,254)		(117,382)
	2,096,658	1,406,217	1,425,193	(18,976)		671,465

<u>DESCRIPTION</u>	<u>FIELD SERVICES (1160)</u>					<u>REMAIN. BUDGET</u>
	<u>CUR BUD</u>	<u>YTD BUD</u>	<u>YTD ACT</u>	<u>VARIANCE</u>		
REGULAR PAY	3,854,461	2,555,171	2,423,482	131,689		1,430,979
TEMPORARY PAY	0	0	8,800	(8,800)		(8,800)
SPECIAL PAY	0	0	7,564	(7,564)		(7,564)
FRINGE BENEFITS	842,013	558,226	476,886	81,340		365,127
SALARY ADJUSTMENT	51,604	51,604	0	51,604		51,604
OTHER PERSONAL SERVICES	38,008	38,008	3,000	35,008		35,008
PERSONNEL SAVINGS (NEG)	(215,285)	(143,524)	0	(143,524)		(215,285)
	4,570,801	3,059,485	2,919,732	139,753		1,651,069

TOTAL GENERAL FUND BUDGET	\$ 9,050,532	\$ 6,033,649	\$ 6,003,964	\$ 29,685	\$	3,046,568
----------------------------------	---------------------	---------------------	---------------------	------------------	-----------	------------------

Administration/Technical Services program is \$91,093 over budget year-to-date:

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	4

- The personnel services budget is \$35,770 over budget. Adult Probation is not realizing the personnel savings it expected for FY 1997-98;
- The supplies/services budget is \$138,537 over budget. Adult Probation is spending more money than anticipated for computer repairs/maintenance. Also, with the increase in caseload, Adult Probation has purchased additional data processing supplies, extra office supplies, increase in the number of drug testing expenses, and an increase in travel re-lated costs for probation officers.
- The capital outlay budget is \$83,814 under budget. Adult Probation is holding off on purchasing capital.

Presentence Investigations is \$18,876 over budget in personal services; this is a result of the overtime and temp pay used to produce the PSI reports. The Field Service's unit is \$139,753 under budget in personal services; the department has been able to achieve significant personnel savings.

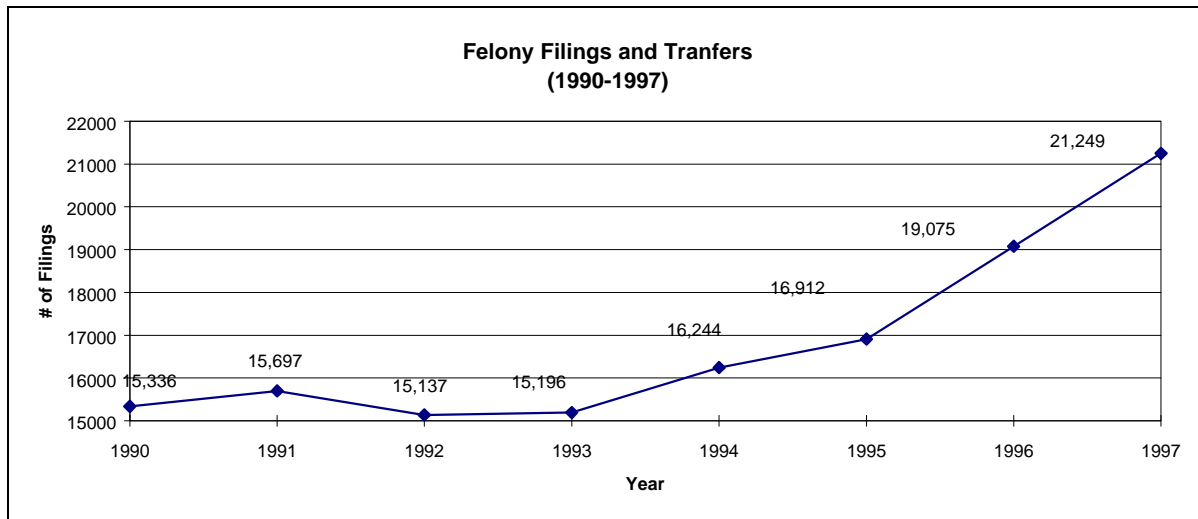
Overall, Adult Probation's General Fund budget year-to-date is \$29,685 under budget. However, Adult Probation and OMB both conclude that by the end of FY 1997-98, Adult Probation will be \$34,922 over budget in its General Fund budget.

ADULT PROBATION'S GENERAL FUND YEAR-END FORECAST				
DESCRIPTION	BUDGETED	EXPENDITURES	PROJECTION	BALANCE
PERSONAL SERVICES	\$ 7,550,795	\$ 4,397,324	\$ 3,185,570	\$ (32,099)
SUPPLIES/SERVICES	1,368,625	936,958	565,603	(133,935)
CAPITAL OUTLAY	131,112	0	0	131,112
GRAND TOTAL	<u>\$ 9,050,532</u>	<u>\$ 5,334,281</u>	<u>\$ 3,751,173</u>	<u>\$ (34,922)</u>

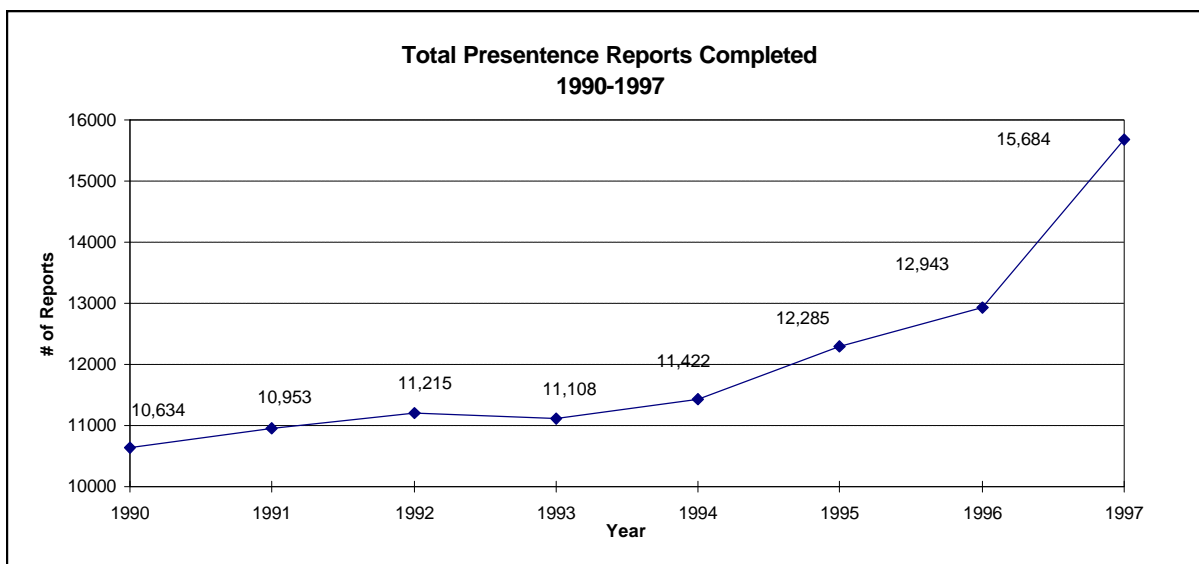
Caseload

Adult Probation's presentence caseload is directly related to the total number of felony filings in Maricopa County. As filings increase, the number of reports needed increases at a corresponding rate. The following graph depicts the actual number of felony filing and transfers in Maricopa County over the past seven years. Felony filings have increased 25% between 1995 and 1997 and 11% between 1996 and 1997. The increase in the number of filings is attributed to several factors; including increasing populations, more arrests, and changing prosecutorial policies.

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	5



As a result the recent increases in felony filings, the number of presentence reports needed by the Courts has increased as well. The total number of presentence reports written by the Adult Probation Department has increased 27% between 1995 and 1997 and 21% between 1996 and 1997.



Staffing analysis

The recent increases in caseload (without changing work processes) have resulted in a need for additional Presentence Investigation Officers in order for the department to maintain the desired officer caseload ratio. The following table depicts: the number of reports completed, the number of filings, county population, the desired number of reports per month, the actual number of officers and the optimal number of officers and support staff that would be needed by the department.

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	6

The actual number of reports completed in calendar 1997 was 15,684. Based on the current 15:1 officer to caseload ratio, 87 officers would be required in the presentence investigation division. Support staff needs are based on a 2:1 ratio provided by the department.

	ACTUAL							
	CY 90	CY 91	CY 92	CY 93	CY 94	CY 95	CY 96	CY 97
PSI REPORTS	10,634	10,953	11,215	11,108	11,422	12,285	12,943	13,779
% INCREASE		3.00%	2.39%	-0.95%	2.83%	7.56%	5.36%	6.46%
% OF FILINGS REPORTED ON		71%	71%	73%	75%	76%	77%	72%
TOTAL FELONY FILINGS	15,336	15,697	15,137	15,196	16,244	16,912	19,075	21,249
% INCREASE		2.35%	-3.57%	0.39%	6.90%	4.11%	12.79%	11.40%
COUNTY POP.	2,205,000	2,259,000	2,325,000	2,404,000	2,489,000	2,567,000	2,656,000	2,746,000
% INCREASE		2.45%	2.92%	3.40%	3.54%	3.13%	3.47%	3.39%
REPORTS PER APO PER MONTH		15.00	15.00	15.00	15.00	15.00	15.00	15.00
ACTUAL # OF OFFICERS	N/A	N/A	N/A	55	58	59	65	77.50
% INCREASE					5.45%	1.72%	10.17%	19.23%
ACTUAL # OF SUPPORT STAFF	N/A	N/A	N/A	38	45	45	45	45
% INCREASE					18.42%	0.00%	0.00%	0.00%
# OF OFFICERS NEEDED		61	62	62	63	68	72	77
# OF SUPPORT STAFF NEEDED		30	31	31	32	34	36	38

Figure adjusted to reflect average growth rate between 1995 and 1996. Actual reports filed in CY 1997 was 15,684. Actual Number of Officers needed to maintain 15:1 caseload per officer ratio = 87. Adjusted figure allows for accurate forecasting based on keeping the "% of filings reported" consistent with prior years.

Considering population and felony filing increases, the following table forecasts the number of presentence reports that will be needed over the next 5 year period and the projected number of staff that will be needed to handle the projected workload. Originally, Adult Probation indicated that re-engineering could increase probation officers' caseload ratio to 30:1. Now, Adult Probation has changed its stance and says that a 20-25:1 caseload ratio is more realistic. In light of this change, OMB still assumes a 30:1 ratio for this report. As a result, Adult Probation's long-term staffing needs are projected to decrease. The forecast includes a "phase-in" period based on the time that it will take to implement the re-engineering effort. While the short term staffing needs project a need for more officers, the long term need for officers should decrease. The number of staff needed, even with workload growth, will still be less than current staffing levels if re-engineering is implemented. The re-designed process also projects a need for an increased support staff ratio. While the number of officers needed is expected to decrease, reliance on support staff is expected to increase. A 2:1 ratio is built-in to the forecast for support staff.

Adult Probation realizes that support staff will play a crucial role in the presentence re-engineering. As a result, many support staff are performing duties that are outside of

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	7

their classification. Adult Probation would like to reclass 24 support staff (CIPs) into Assessors. OMB projects the annual cost of this reclass to be \$91,216.

	FORECAST				
	CY 98	CY 99	CY 00	CY 01	CY 02
PSI REPORTS	15,165	15,419	16,156	16,879	17,699
% INCREASE	10.06%	1.68%	4.78%	4.48%	4.86%
% OF FILINGS REPORTED ON	71%	75%	75%	76%	77%
TOTAL FELONY FILINGS	20,650	21,430	22,169	22,889	23,729
% INCREASE	-2.82%	3.78%	3.45%	3.24%	3.67%
COUNTY POP.	2,831,000	2,908,000	2,981,000	3,052,000	3,135,000
% INCREASE	3.10%	2.72%	2.51%	2.38%	2.72%
REPORTS PER APO PER MONTH	15.00	22.5*	30*	30*	30*
			28	28	28
			25	25	25
			20	20	20
# OF OFFICERS NEEDED	84	57	45	47	49
			48	50	48
			54	56	59
			67	70	74
# OF SUPPORT STAFF NEEDED	42	29	22	23	25
			24	25	24
			27	28	29
			34	35	37

* Figures represent an estimated increase in reports completed per month per officer as a result of implementing the presentence re-engineering project. Calendar year 1999 reflects a "phase-in" period.

Cost Impact

As indicated implementing the Re-engineering project is expected to lead to staff cost savings. The expected cost avoidance that could be realized is projected below. From fiscal year 1998-99 through fiscal year 2002-03, the estimated total amount of staff savings is projected to be \$6,796,789 with an average annual savings of \$1,359,357. Staff savings for the remainder of FY 1997-98 and into FY 1998-99 will not be realized until re-engineering is complete.

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	8

PROJECTED PSI OFFICER STAFF SAVINGS						
	Projected Number of PSI Officers Needed	Average Salary and Benefits Per Officer	Projected Number of Support Staff Needed	Average Salary and Benefits Per Support Staff	Re-engineering Implementation Costs	TOTAL
WITHOUT RE-ENGINEERING						
FY 97-98	85	\$ 9,615	28	\$ 6,170		\$992,092
FY 98-99	85	38,460	28	24,683		3,968,452
FY 99-00	87	38,460	29	24,683		4,061,827
FY 00-01	91	38,460	30	24,683		4,248,578
FY 01-02	94	38,460	31	24,683		4,388,641
FY 02-03	98	38,460	33	24,683		4,575,391
Estimated Staffing Costs						\$22,234,980
WITH RE-ENGINEERING						
FY 97-98	85	\$9,615	28	\$6,170	\$391,493	\$1,383,585
FY 98-99	85	38,460	28	24,683		3,968,452
FY 99-00	58	38,460	29	24,683		2,946,487
FY 00-01	45	38,460	23	24,683		2,286,068
FY 01-02	47	38,460	24	24,683		2,387,671
FY 02-03	49	38,460	25	24,683		2,489,274
Estimated Staffing Costs						\$15,461,535
Total Estimated Savings (Over 6 year period)						\$6,773,445

The re-designed process is also expected to save the number of jail beds that will be needed by reducing the length of stay for in-custody defendants. Projections depict an average annual savings of 122 beds per day, resulting in an average of 44,510 prisoner days saved per year. Totals beds saved over the five year period is estimated to be 222,552. The estimated annual savings over the five year period is projected to be \$8,178,801, with an average annual saving of \$1,635,760.

PROJECTED JAIL SAVINGS						
	CY 98	CY 99	CY 00	CY 01	CY 02	TOTALS
# OF REPORTS	14,470	15,281	15,928	16,576	17,228	79,483
TOTAL IN-CUSTODY	5,788	6,112	6,371	6,630	6,891	31,793
% IN-CUSTODY	40%	40%	40%	40%	40%	40%
# OF DAYS SAVED w/Re-design	7	7	7	7	7	7
TOTAL DAYS SAVED	40,516	42,787	44,598	46,413	48,238	222,552
# of DAYS	365	365	365	365	365	1,825
TOTAL BEDS SAVED PER DAY	111	117	122	127	132	Avg. per yr 122
COST PER DAY	\$36.75	\$36.75	\$36.75	\$36.75	\$36.75	\$36.75
SAVINGS PER DAY	\$4,079	\$4,308	\$4,490	\$4,673	\$4,857	\$22,408
# of DAYS	365	365	365	365	365	365
TOTAL SAVINGS	\$1,488,963	\$1,572,415	\$1,638,991	\$1,705,670	\$1,772,761	\$8,178,801

The total savings over the 5 year period, including staffing and detention cost avoidance is projected to be \$14,912,246 with estimated average annual savings of \$2,982,492.

CONCLUSION

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	9

- While there is a current need for more Probation Officers to handle presentence investigations as a result of increasing caseloads, the implementation of re-engineering should eventually result in significant cost savings.
- Recent increases in workload reflect a need for more short term staffing until the implementation of re-engineering.
- The re-engineered process will result in a need for less long-term staffing.
- Following implementation, the re-engineering effort will lead to long term staffing and jail cost savings.
- The plan is still in the beginning stages. OMB was told that a draft would be available within the next four-to-six weeks. In the short-term, the department would purchase the equipment first, and focus on the wiring and other issues later. OMB concludes that Department should continue in its efforts to re-design in order to decrease required staffing levels and reduce jail population by decreasing sentencing timelines.

RECOMMENDATION

OMB recommends that the Board of Supervisors allocate contingency funds totaling \$592,797 for FY 1997-98 and \$408,910 will be added to Adult Probation's FY 1998-99 budget target in order to:

- provide funding for the capital outlay required to complete the re-engineering project;
- provide funding for 5 full-time probation officers (once re-engineering is implemented these positions will be transferred to the Field Services Unit), 1 support staff and 5 temporary employees for the remainder of FY 1997-98 and 9 months into FY 1998-99;
- provide funding to reclassify 24 Court Information Processors (CIPS);
- provide funding for overtime/temporary pay incurred during 1997-1998 as a result of increased workloads.

Catalog number	98-007
Date:	April 22, 1998
Subject:	Adult Probation Presentence Investigation Workload
Page:	10

DESCRIPTION	RECOMMENDATION	
	FY 1997-98	FY 1998-99
Automation:		
Software/Licenses	\$ 33,822	\$ -
Hardware	336,714	
Tax	27,790	
Re-wiring	12,900	
	<u>\$ 411,226</u>	<u>\$ -</u>
Staffing:		
Full-Time Employees PO	5	5
Hours	520	2,088
PO hourly rate	\$ 15	\$ 15
Salary	39,000	156,600
Benefits	8,190	30,570
Total	<u>\$ 47,190</u>	<u>\$ 187,170</u>
Temporary Staff	5	5
Hours	488	1,568
PO hourly rate	\$ 15	\$ 15
Salary	36,600	117,600
Benefits	4,022	12,924
Total	<u>\$ 40,622</u>	<u>\$ 130,524</u>
Reclass 24 CIPs to JA Is*	24	24
Hours	488	2,088
Ave CIP rate \$9.61 increase to \$11.26	\$ 1.64	\$ 1.64
Salary	19,208	82,184
Benefits	4,034	9,032
Total	<u>\$ 23,241</u>	<u>\$ 91,216</u>
Temp/Special Pay	\$ 70,517	\$ -
TOTAL	\$ 592,797	\$ 408,910